## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Ronald E. Sloan et al.

Serial No: 09/976,443

Filed: 10/12/2001

Title: AUTOMATED COACHING FOR A FINANCIAL MODELING AND

COUNSELING SYSTEM

Docket No: 060021-376002/US

Group Art Unit: 3628 Examiner: T.M. Harbeck

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

## SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. § 1.56, § 1.97 and § 1.98, Applicant brings the references listed on the attached Form PTO-1449 to the examiner's attention. 37 C.F.R. § 1.56. These references may be material to examination of the above-identified application. Please do not construe the filing of this information disclosure statement as a representation that applicant has made a search (37 C.F.R. § 1.97(g)), or as an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

This Information Disclosure Statement is being submitted:

1. Within three months of the filing date of a national application other than a continued prosecution
application under 37 CFR 1.53(d), or within three months of the date of entry of the national stage as set
forth in 37 CFR 1.491 in an international application, or before the mailing date of a first Office action on
the merits, or before the mailing of a first Office action after the filing of a request for continued
examination under 37 CFR 1.114, and therefore, Applicant believes no fee is required;

	2. After the period specified in paragraph (1) heremabove of this section, but is being filed before the mailing date of either a final action under 37 CFR 1.113, or a notice of allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and is accompanied by one of the following:						
		(a)	A state	ement that either:			
			] (i)	Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement;			
			OR				
			] (ii)	No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;			
		OR					
		(b)		e of \$180 for filing of an Information Disclosure Statement as set forth C.F.R. 1.17(p).			
$\boxtimes$	3. After the period specified in paragraph (2) of this section, but is filed on or before payment of the issue fee and is accompanied by both:						
	(a) A statement that either:						
			(i)	Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement;			
			OR				
		×	] (ii)	No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;			
			AND				
	$\boxtimes$	(b)	The fe 1.17(p	te of \$180.00 for filing of an Information Disclosure Statement as set forth in 37 CFR b).			

Applicant would appreciate the Examiner initialing and signing a copy of Form PTO-1449, transmitted herewith, indicating that the information has been considered and made of record herein.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicant petitions for any required relief including extensions of time and authorizes the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No.** 50-1901 referencing order number 060021-376002/US.

Respectfully submitted,

BF By Malt Blanch

May 1, 2006

Dena VanDeVoort Ehrich, Reg. No. 57,508 Customer No. 29,838

Oppenheimer Wolff & Donnelly LLP 45 South Seventh Street, Suite 3300 Minneapolis, Minnesota 55402

Telephone: 612.607.7345 Facsimile: 612.607.7100

Email: DVanDeVoort@oppenheimer.com

Substitute for form 1449A/PTO				Сотрlete if Known		
	INFORMA	TION D	ISCLOSURE	Application Number	09/976,443	
STATEMENT BY APPLICANT  (use as many sheets as necessary)				Filing or 371(c) Date	10/12/2001	
				First Named Inventor	Ronald E. Sloan et al.	
				Art Unit	3628	
				Examiner Name	T.M. Harbeck	
Sheet	1	of	1	Attorney Docket Number	060021-376002/US	

U.S. PATENT DOCUMENTS								
Examiner Initials*	Cite No. 1	Document Number						
		US-6253192	06-2001	Corlett et al.				
		US-6567796	05-2003	Yost et al.				
		_			· · ·			
			<del>.</del>					
					·····			
			FOREIGN PATE	ENT DOCUMENTS				
Examiner	Cite	Foreign Patent Document  Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code	5 (if Publication Date	te	Name of Patentee or	T <sup>6</sup>		
Initials*	No. 1	known)	MM-DD-YYY		plicant of Cited Document			
						1		
						+		
						+		
NON PATENT LITERATURE DOCUMENTS								
<del>                                     </del>								
Examiner Initials	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published						
Examiner Si	Examiner Signature Date Considered							

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in

conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.